

Welcome **Alice VonEva Pettigrew** (00018713).

Job Description

Job Title	Associate Commissioner of Securities		
Job ID	14413		
Date Opened	09/21/2021		
Date Closed	10/20/2021		
Location	1050 1st Street, NE		
Full/Part Time	Full-Time	Type of Appointment	MSS - Reg Appt
Regular/Temporary	Regular		
Agency	SR	Insurance, Securities and Bank	
Area of Consideration	Open to Public		
Grade	16		
Bargaining Unit	CH11	Non Union - Chapter 11	
Minimum Range	\$135,488.000000	Maximum Range	\$189,679.000000
Target Openings	1	Available Openings	1

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General Job Information

Job Summary

The position is located in the District of Columbia Government (District), Department of Insurance Securities and Banking (DISB), Securities Bureau (Bureau). The incumbent serves as Associate Commissioner of the Securities Bureau and directs, supervises, and manages the day-to-day operations of the Securities Division. The Associate Securities Commissioner provides expert advice and guidance to the Commissioner of DISB and the Chief of Staff with respect to securities. The incumbent has overall responsibility for administering the District of Columbia Securities Act (Act) and related rules and regulations.

Duties and Responsibilities

Coordinates policies and activities with state, regional, federal, and standard setting organizations, or other agencies with similar targeted or related programs. Serves on interagency, national, special work groups, task forces, or expert panels on special projects or studies critical to the resolution of far-reaching investor protection issues. Plans, directs, and manages the day-to-day operations of the Securities Bureau which include, but are not limited to; (1) licensing agents and broker-dealers; (2) registration of investment firms and advisor; (3) registration of securities offerings and exemption filings; (4) regulatory rulemaking and inspections; (5) conducting investigations; and (6) establishing and implementing an enforcement program. Supervises, a subordinate staff.

Develops recommendations for correction of weaknesses or deficiencies in bureau operations, management, polices, and other areas subject to review. Develops and recommends to the Commissioner policies to govern all phases of securities activities in the District of Columbia. Establishes rules, regulations, and procedures that govern all aspects of the District's Securities regulation including: the registration and sale of securities; licensing and registration of professionals who operate in the District as broker dealers and their agents and investment advisors; and the establishment and collection of related fees. Periodically reviews the Act to determine whether to recommend amendments in light of changes in the securities industry and/or regulatory concepts. Supervises the continuing study of rules and regulations for the Act and makes recommendations to the Commissioner regarding the elimination or modification of existing rules and regulations or the adoption of new rules and regulations.

Qualifications and Education

Specialized Experience is experience that equipped the applicant with the particular knowledge, skills, and abilities to successfully perform the duties of the position, and that is typically in or related to the work of the position to be filled. To be creditable, the incumbent must have at least one (1) year of specialized experience equivalent to the next lower grade level in the normal line of progression.

Licensure and Certifications

None

Working Environment

Work is primarily performed in an office setting.

Other Significant Fact

Tour of Duty: Monday - Friday 8:15am - 4:45pm

Pay Plan, Series, Grade: MS-301-16

Promotion Potential: No Known Promotion Potential

Collective Bargaining: This position is NOT covered under a collective bargaining

Position Designation: This position has been deemed Security Sensitive under the guideline of the DC Personnel Manual. Incumbents of this position are subject to enhanced suitability screening pursuant to Chapter 4 of DC personnel regulations. Accordingly, incumbents must successfully pass a criminal background and consumer credit check as a condition of employment and will be subject to periodic criminal background checks for the duration of their tenure.

Vaccination Requirement

The Government of the District of Columbia values the safety of our employees, our residents, and our visitors. In support of these values, if you are selected for this job you must be fully vaccinated against COVID-19, except when vaccination is not medically advised or violates your sincerely held religious beliefs. If you are invited to join our team, you must submit proof that you are fully vaccinated against COVID-19 to your initial HR representative, or you must request an exemption from your representative. New employees must either provide proof of vaccination or be granted a medical or religious exemption before working with the Government of the District of Columbia.

EEO Statement: The District of Columbia Government is an Equal Opportunity Employer. All qualified candidates will receive consideration without regard to race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, physical handicap, or political affiliation.

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